



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Robert J. Klein et al.

Serial No.: 09/635,967

Filed: August 10, 2000

Title: METHOD AND APPARATUS FOR
DOCUMENT PROCESSING

Atty Dkt: 47171-00272USC1

Group Art: 3652

Examiner: Jeffrey Shapiro

**FIFTH INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§1.97 and 1.98**

Commissioner for Patents
Washington, D.C. 20231

**CERTIFICATE OF MAILING
37 C.F.R. 1.8**

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. on the date indicated below:

2-6-03
Date

Maurice Hammond

Dear Commissioner:

In compliance with the duty of disclosure under 37 C.F.R. §1.56, it is respectfully requested that this Fifth Information Disclosure Statement be entered and the references listed on attached Form PTO-1449 be considered by the Examiner and made of record.

In accordance with 37 C.F.R. § 1.98(d), copies of the listed references are enclosed.

On October 1, 2002, Cummins-Allison Corp., assignee of the present application, sued Glory Ltd., Glory Shoji Co. Ltd., and Glory (U.S.A.), Inc., in the United States District Court for the Northern District of Illinois, Civil Action No. 02C-7008 (complaint listed as ref. L1) for infringement concerning U.S. Pat. No. 6,459,806. The documents listed on the attached Form PTO-1449 as refs. L1 to L93 are from this litigation. Accordingly, pursuant to 37 C.F.R. § 1.98(3)(i), the relevance of any non-English references on the attached Form PTO-1449 is that such references were identified by Glory in the above mentioned litigation.

In accordance with 37 C.F.R. §§ 1.97(g),(h), this Fifth Information Disclosure Statement is not to be construed as a representation that a search has been made, and is not to be construed to be an admission that the information disclosed is, or is considered to be, prior

art with respect to the present application or material to patentability as defined in 37 C.F.R. §§ 1.56.

The present Information Disclosure Statement is being submitted after the mailing of the first Office Action reflecting an examination on the merits but before the mailing of a Final Rejection or Notice of Allowance. In accordance with 37 C.F.R. § 1.97(c), a fee of \$180 is included herewith. If this check is inadvertently not enclosed, or is in error in amount, the Commissioner is authorized to charge any deficiency (except for payment to the issue fee) or to credit any over payment to Jenkins & Gilchrist Account No. 10-0447/47171-00272USC1.

2/6/03
Date

Respectfully submitted,



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Attorneys for Applicants

Form PTO-1449 (modified)	Atty. Docket No. 47171-00272USC1	Serial No. 09/635,967
List of Patents and Publications for Applicant's 5TH INFORMATION DISCLOSURE STATEMENT	Applicant Robert J. Klein et al.	
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U.S. Patent Documents							
Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date if App.
	J1	US2001/0019624A1	09/06/01	Rateman et al.	382	135	
	J2	US2002/0001393A1	01/03/02	Jones et al.	382	100	
	J3	US2002/0020603A1	02/21/02	Jones et al.	194	346	
	J4	US2002/0056605A1	05/16/02	Mazur et al.	194	207	
	J5	US2002/0085245A1	07/04/02	Mennie et al.	358	498	
	J6	US2002/0085745A1	07/04/02	Jones et al.	382	135	
	J7	US2002/0103757A1	08/01/02	Jones et al.	705	45	
	J8	US2002/0104785A1	08/08/02	Klein et al.	209	534	
	J9	US2002/0107801A1	08/08/02	Jones et al.	705	45	
	J10	US2002/0118871A1	08/29/02	Jones et al.	382	137	
	J11	US2002/0122580A1	09/05/02	Jones et al.	382	137	
	J12	US2002/0126885A1	09/12/02	Mennie et al.	382	135	
	J13	US2002/0126886A1	09/12/02	Jones et al.	382	135	
	J14	US2002/0131630A1	09/19/02	Jones et al.	382	137	
	J15	US2002/0136442A1	09/26/02	Jones et al.	382	135	
	J16	US2002/0145035A1	10/10/02	Jones	235	379	
	J17	US2002/0154804A1	10/24/02	Jones et al.	382	135	
	J18	US2002/0154805A1	10/24/02	Jones et al.	382	135	
	J19	US2002/0154806A1	10/24/02	Jones et al.	382	135	
	J20	US2002/0154807A1	10/24/02	Jones et al.	382	135	
	J21	US2002/0154808A1	10/24/02	Jones et al.	382	135	
	J22	4,784,274	11/15/88	Mori et al.	209	534	
	J23	4,905,840	03/06/90	Yuge et al.	209	534	
	J24	5,402,895	04/04/95	Mikkelsen et al.	209	534	
	J25	5,692,067	11/25/97	Rateman et al.	382	135	
	J26	5,704,491	01/06/98	Graves	209	534	
	J27	5,724,438	03/03/98	Graves	382	135	
	J28	5,751,840	05/12/98	Rateman et al.	382	135	
	J29	5,790,693	08/04/98	Graves et al.	382	135	
	J30	5,790,697	08/04/98	Munro et al.	382	135	

EXAMINER:	DATE CONSIDERED:
EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	

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List of Patents and Publications for Applicant's 5TH INFORMATION DISCLOSURE STATEMENT	Applicant Robert J. Klein et al.	
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	J31	5,806,650	09/05/98	Mennie et al.	194	206	
	J32	5,815,592	09/29/98	Mennie et al.	382	135	
	J33	5,822,448	10/13/98	Graves et al.	382	135	
	J34	5,832,104	11/03/98	Graves et al.	382	135	
	J35	5,867,589	02/02/99	Graves et al.	382	135	
	J36	5,870,487	02/09/99	Graves et al.	382	135	
	J37	5,875,259	02/23/99	Mennie et al.	382	135	
	J38	5,905,810	05/18/99	Jones et al.	382	135	
	J39	5,909,502	06/01/99	Mazur	382	135	
	J40	5,909,503	06/01/99	Graves et al.	382	135	
	J41	5,912,982	06/15/99	Munro et al.	382	135	
	J42	5,938,044	08/17/99	Weggesser	209	534	
	J43	5,940,623	08/17/99	Watts et al.	395	712	
	J44	5,943,655	08/24/99	Jacobsen	705	30	
	J45	5,960,103	09/28/99	Graves et al.	382	135	
	J46	5,966,456	10/12/99	Jones et al.	382	135	
	J47	5,982,918	11/09/99	Mennie et al.	382	135	
	J48	6,026,175	02/15/00	Rateman et al.	382	135	
	J49	6,028,951	02/22/00	Rateman et al.	382	135	
	J50	6,039,645	03/21/00	Mazur	453	10	
	J51	6,068,194	05/30/00	Mazur	235	492	
	J52	6,072,896	06/06/00	Graves et al.	382	135	
	J53	6,074,334	06/13/00	Mennie et al.	493	438	
	J54	6,398,000	06/04/02	Jenrick et al.	194	200	
	J55	6,459,806	10/01/02	Rateman et al.	382	135	
	J56	6,460,705	10/08/02	Hallowell	209	534	

Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
	K1	EP 0487 316 A2	05/27/92	European	G07D	7/00	N/A
	K2	EP 0718 809 A2	6/26/97	Europe	G07D	7/00	N/A
	K3	JP S60-215293	11/28/85	Japan			Yes see L94 below
	K4	JP 61-82290	04/25/86	Japan			Abstract Only

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List of Patents and Publications for Applicant's 5TH INFORMATION DISCLOSURE STATEMENT	Applicant Robert J. Klein et al.	
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Other Art (Including Author, Title, Date Pertinent Pages, Etc.)		
Exam. Init.	Ref. Des.	Citation
	L1	Complaint Cummins-Allison Corp. v. Glory Ltd., Glory Shoji Co. Ltd., and Glory (U.S.A.), Inc., Civil Action No. 02C-7008, N.D. Ill.
	L2	Redacted Declaration of Hiroya Mouri (12 pages) (11/19/02)
	L3	Glory Model UF-1, Instruction Manual (30 pages) (date uncertain, prior to 11/20/02)(Japanese)[11/19/02 Mouri Ex. 1]
	L4	Glory Model UF-1, Translation of Instruction Manual – (29 pages) (date uncertain, prior to 11/20/02) (Glory's translation) [11/19/02 Mouri Ex. 1a]
	L5	Glory UF-1 brochure (2 page)(date unknown, prior to 11/20/02) (Japanese) [11/19/02 Mouri Ex. 2]
	L6	Glory GFB-30 brochure (2 page) (date unknown, prior to 11/20/02) (Japanese) [11/19/02 Mouri Ex. 3]
	L7	Glory GFB-30 operation manual (16 pages) (date unknown, prior to 11/20/02) (Japanese) [11/19/02 Mouri Ex. 6]
	L8	Glory GSA-500 Service Manual (119 pages) (5/89) [11/19/02 Mouri Ex. 5]
	L9	Glory GFU-200 operator manual (26 pages) (date unknown, first page marked 92-3-2) (Japanese) [11/19/02 Mouri Ex. 8]
	L10	Glory GFR-110 Instruction Manual – Currency Reader Counter (26 pages) (dated 8/23/99) [11/19/02 Mouri Ex. 10]
	L11	Glory GFR-S Series Currency Counters/Discriminators GFR-S60; GFR-S80; GFR-S80V (4 pages) (date © 2002) [11/19/02 Mouri Ex. 12]
	L12	Declaration of Sadaaki Uesaka (7 pages) (11/19/02)
	L13	Glory's Monthly Newsletter, June 1985 (38 pages) (Japanese) [11/19/02 Uesaka Ex. 2]
	L14	Glory's Monthly Newsletter, June 1985 – partial translation (4 pages) [11/19/02 Uesaka Ex. 3]
	L15	Glory Money O.A. Catalog, June 1989 (44 pages) (Japanese) [11/19/02 Uesaka Ex. 5]
	L16	Declaration of Akira Hoyo (5 pages) (11/15/02)
	L17	Billcon D-202/204 Service Manual – Second Translation (Glory) (cover marked 630229) (25 pages) [11/15/02 Hoyo Ex. 2a]
	L18	Billcon D-202/204 – Nikkin Newspaper ad, April 17, 1987 (2 pages) (Japanese) [11/15/02 Hoyo Ex. 3]
	L19	Billcon D-202/204 - Nikkin Newspaper ad, April 17, 1987 (2 pages) (English translation) [11/15/02 Hoyo Ex. 3a]
	L20	Billcon D-202/204 brochure (2 pages) (date uncertain, prior to 11/20/02) (Japanese) [11/15/02 Hoyo Ex. 5]
	L21	Billcon D-202/204 brochure (2 pages) (date uncertain, prior to 11/20/02) (English translation) [11/15/02 Hoyo Ex. 5a]

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	L22	Billcon D-202/204 videotape of Japanese television show entitled "Small and Worldwide Companies" (allegedly aired 1/10/88) (Japanese) [11/15/02 Hoyo Ex. 6]
	L23	Declaration of Philip C. Dolsen (6 pages)(11/20/02)
	L24	Dolsen, Philip C. Curriculum (4 pages) (10/29/02) [11/20/02 Dolsen Ex. 1]
	L25	OKI Semiconductor data book, MSM80C85A-2RS/GS/JS – 8 Bit CMOS Microprocessor (10 pages) (alleged March 1989) [11/20/02 Dolsen Ex. 3A]
	L26	OKI Semiconductor data book, MSM80C88A-2RS/GS/JS – 8 Bit CMOS Microprocessor (27 pages) (alleged March 1989) [11/20/02 Dolsen Ex. 3B]
	L27	Intel 80286, Intel data sheet, High Performance Microprocessor with Memory Management and Protection (28 pages; pages 3-1 to 3-55) (alleged 1988) [11/20/02 Dolsen Ex. 4]
	L28	NEC uPD780C-1 Microprocessor, NEC data book (23 pages; pages 4-3 to 4-25) (alleged 1987) [11/20/02 Dolsen Ex. 5]
	L29	NEC PD70216 processor, NEC data book (34 pages; pages 3-161 to 3-227) (alleged 1987) [11/20/02 Dolsen Ex. 6]
	L30	Dolsen claim chart for claims 40-43, 46-48, 76-78, 81, 101, 105, 108, 110-111 U.S. Pat. No. 6,459,806 [11/20/02 Dolsen Ex. 7]
	L31	Glory GFR-S80V Operation Keys, Pages 1-11 (5/17/02) English (GL000106-116)
	L32	Glory Catalog pages 4-11 listing various Glory machines including GFU-100, GFF-8CF, GFF-8, GFB-500/520, GFF-8E, and GSA-500 and maintenance policy and fees, English (GL001916-1923) (date uncertain, last page dated 8/15/90)
	L33	De La Rue 3000 Series Used banknote sorting machines, 10 legal size pages, English (GL001924-33) (date uncertain, prior to 11/4/02)
	L34	De La Rue 3400/3500 Series High Speed Currency Sorting Systems brochure, 4 pages, English (GL001934-37)(© 1989)
	L35	The New Billcon K-300 Series brochure, 2 pages, English (GL002389-90) (12-99)
	L36	The New Billcon N-Series Compact Note Counter brochure, 2 pages, English (GL002391-92) (© 2000)
	L37	The New Billcon K-300 Series Brochure, 2 pages, (© 1999) English (GL002396-97)
	L38	Billcon D-202/204 brochure, 2 pages, Japanese (date uncertain, prior to 11/7/02) (GL002398-99)
	L39	De La Rue Teller Cash Dispatch™ Applications brochure, 8 pages, (© 1999) English (GL002475-2482)
	L40	De La Rue Cash Systems, Coin Processing Banknote Counting brochure, 4 legal pages, (date uncertain, prior to 11/7/02) English (GL002485-88)
	L41	De La Rue Cash Systems, 2650 Currency Counting Machine brochure, 2 pages, (date uncertain, prior to 11/7/02) English (GL002489-90)
	L42	De La Rue Cash Systems, The Euro Range for Note and Coin Handling brochure, 4 pages, (date uncertain, prior to 11/7/02) English (GL002491-94)
	L43	Currency Systems International Cobra™ Banknote Sorter brochure, 3 pages (middle page legal), (© 2001) English (GL002495-97)
	L44	De La Rue Cash Systems Cobra™ 4004 Banknote Sorter brochure, 2 legal pages, (© 2001) English (GL002498-99)
	L45	De La Rue Cash Systems TCR Twin Safe™ Teller Cash Recycler, 2 pages, (© 2001) English (GL002500-01)

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	L46	De La Rue's WestLB Panmure Marketing Pamphlet regarding Cash Systems Division, 16 pages, (4/29/02) English (GL002502-17)
	L47	De La Rue Cash Systems 2800 VB Value Balancing currency counter brochure, 2 pages (9/99) English (GL002518-19)
	L48	De La Rue Cash Systems 8672 Máquina contadora de billetes brochure, 2 pages (date uncertain, handwritten date 11/99) (Spanish) (GL002520-21)
	L49	Sprintquip Quicksort™ 2800 brochure, 2 pages, (hand dated 9/99) English (GL002523-24)
	L50	Brandt® Model 8643 Currency/Document Counter brochure, 2 pages, (© 1995) English (GL002527-28)
	L51	De La Rue Cash Systems 2700VB Currency Counting Machine brochure, 2 pages (hand dated 9/99) English (GL002529-30)
	L52	De La Rue Cash Systems Brandt 8625 Currency Counting Machine, 2 pages (hand dated 11/99) English (GL002531-32)
	L53	De La Rue Cash Systems Branch Cash Automation Applications (Powerpoint), 28 pages, (date uncertain, prior to 11/7/02) English (GL002539-66)
	L54	De La Rue Commercial Self Service (Powerpoint), 24 pages, (date uncertain, prior to 11/7/02) English (GL002567-90)
	L55	De La Rue Automated Depositories (Powerpoint), 2 pages, (date uncertain, prior to 11/7/02) English (GL002591-92)
	L56	De La Rue Systems 2800VB Value Balancing Sorter/Counter brochure, 2 pages, (date uncertain, prior to 11/7/02) English (GL002593-94)
	L57	De La Rue Systems 2700VB Specification page of brochure, 1 page, (date uncertain, prior to 11/7/02) English (GL002595)
	L58	Magner® 15 Desktop banknote counter brochure, 2 pages, (date uncertain, prior to 11/7/02) English (GL002596-97)
	L59	MAG II Model 20 Currency Counter brochure, 2 pages, (date uncertain, prior to 11/7/02) English (GL002605-06)
	L60	Banc Equip Magner Products Product Price List, 2 pages, (date uncertain, prior to 11/7/02) English (GL002613-14)
	L61	Magner Model 35 Currency Counting Machines brochure, 2 pages, (date uncertain, prior to 11/7/02) English (GL002625-26)
	L62	Magner 75 Series Currency Counting Machines brochure, 2 pages, (date uncertain, prior to 11/7/02) English (GL002627-28)
	L63	G&D BPS 200 Desktop Banknote Processing System brochure, 10 pages, (date uncertain, prior to 11/7/02) English (GL002629-38)
	L64	G&D BPS 200 Desktop Banknote Processing System brochure, 2 pages, (date uncertain, prior to 11/7/02) English (GL002643-44)
	L65	G&D One Size Does Not Fit All! Brochure, 1 page, (date uncertain, prior to 11/7/02) English (GL002645)
	L66	G&D BPS 500 Banknote Processing System brochure, 4 pages, (date uncertain, prior to 11/7/02) English (GL002646-49)
	L67	G&D Numeron webpage picture of sorting machine and Design Award for Numeron, 2 page, (3/29/02) (GL002650-51)
	L68	G&D BPS 200 Banknote Processing System brochure, 2 pages, (date uncertain, prior to 11/7/02) English (GL002652-53)
	L69	G&D BPS 500 Banknote Processing System brochure, 1 page (hand dated 9/99) English (GL002654)
	L70	G&D Company Magazine, 36 pages, (3/98) English (GL002655-90)

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L71	G&D Cards and Card Systems brochure, 15 pages, (© 1998) English (GL002691-2705)
L72	G&D Portrait of a Company Group brochure, 19 pages, (© 1997?) English (GL002706-24)
L73	Mosler TouchSort™ Plus Currency Processing System brochure, 2 pages (© 1999) English (GL002727-28)
L74	Mosler Satellite Branch Facilities – Riddell National Bank, Brazil, Indiana brochure, 1 page, (date uncertain, prior to 11/7/02) English (GL002729)
L75	Mosler TouchSort™ Currency Processing System brochure, 2 pages, (date uncertain, prior to 11/7/02) English (GL002730-31)
L76	Mosler marketing brochure, 4 pages, (© 1999) English, (GL002732-35)
L77	Glory UC-10-10A Brochure, 2 pages, (date uncertain, prior to 11/7/02) Japanese (GL002777-78)
L78	Glory UC-10A pamphlet, 1 legal page, (date uncertain, prior to 11/7/02) Japanese (GL002779)
L79	Glory pamphlet of various machines, 1 legal page, (date uncertain, prior to 11/7/02) Japanese (GL002780)
L80	Glory UF-1 brochure, 2 pages, (date uncertain, prior to 11/7/02) Japanese (GL002781-82)
L81	Glory GFU-200 Desk-top Currency Fitness Sorter/Counter brochure, 2 pages, (date uncertain, prior to 11/7/02) English (GL002839-40)
L82	Glory GFR-100 Currency Reader Counter brochure, 4 pages, (© 1995, English (GL002860-63)
L83	Glory GFR-100 Currency Reader Counter Instruction Manual, 31 pages (1/8/96) English (GL002864-94)
L84	Glory Tank Currency Discriminators GFR-110 & GFR-S80 brochure, 2 pages, (© 2000) English (GL002959-60)
L85	Glory Currency Reader Counter GFR-S80, S60 Instruction Manual, 33 pages (11/1/00) English (GL002961-93)
L86	Glory UW-100 Compact Currency Fitness Sorter brochure, 2 pages (© 1999) English (GL003027-28)
L87	Glory Currency Fitness Sorter UW-100 Instruction Manual, 38 pages (2/19/02) English (GL003029-66)
L88	Glory UW-200 Multi-Purpose Company Currency Sorter brochure, 2 legal pages (© 1999) English (GL003067)
L89	Glory Currency Sorter UW-200 With Fitness sorting mode (FIT) Instruction Manual, 44 pages (10/23/01) English (GL003068-111)
L90	Billcon D-202-204 brochures, 6 pages, (date uncertain, prior to 11/7/02) Japanese (GI003112-17)
L91	Billcon® R-900 E-DS Note Counter with Dual Speed and Denomination Sorting Function brochure, 2 pages, (date uncertain, prior to 11/7/02) English (GL003167-68)
L92	Billcon R-900DS Currency Counter Operating Manual, 6 pages, (date uncertain, prior to 11/7/02) English (GL003169-74)
L93	Billcon R-900 Currency Counter Service Manual (601221), 31 pages, (date uncertain, prior to 11/7/02) English (GL003175-3205)
L94	Translation of JP S60-215293 (K03 above)

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